

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Timothy M. Keiser et al.

Serial No. : To Be Assigned Examiner: To Be Assigned
(Continuation of
Appl. No. 09/465,607)

Filed : Herewith Group Art Unit: To Be Assigned

Title : COMPUTER-IMPLEMENTED SECURITIES TRADING
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION

Mail Stop Patent Application
Commissioner for Patents
Alexandria VA 22313-1450

PRELIMINARY AMENDMENT

Sir:

Prior to Examination, please amend as follows:

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Amendments to the Specification begin on page 20 of this paper.

Remarks begin on page 21 of this paper.